

 Office of Credit Unions Policies and Procedures	POLICY NUMBER
	10710 A1
COMPLIANCE	EFFECTIVE DATE
	11/01/2018
SUBJECT	REVISION DATE
	11/01/2018
Sample BSA Items Requested for Examination	PAGE(S)
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Items Requested for Examination Bank Secrecy Act Compliance Officer

1. _____ BSA Policy
2. _____ BSA Risk Assessment
3. _____ A report from the most recent independent BSA testing
4. _____ Currency Transaction Reports (CTRs) filed since the previous examination
5. _____ A list of CTR exemptions, if applicable
6. _____ Designation of Exempt Persons Form for CTR exemptions, if applicable
7. _____ Suspicious Activity Reports filed since the previous examination
8. _____ Correspondence from Federal and State agencies
9. _____ Training material and training attendance log
10. _____ Aggregate Cash Transaction Reports
11. _____ Wire transfer log
12. _____ Purchase of Monetary Instruments log
13. _____ A list of high risk accounts
14. _____ A list of all foreign (non-U.S.) accounts
15. _____ Documentation for the most recent FinCEN 314(a) search requests and results
16. _____ Documentation for the most recent full member OFAC scan and results
17. _____ Documentation for customer due diligence performed on third party vendors who assist in BSA compliance, if applicable
18. _____ Reports of Foreign Bank and Financial Accounts (FBARs), if applicable
19. _____ FinCEN 314(b) Notices, if applicable
20. _____ Currency and Monetary Instrument Reports (CMIRs), if applicable